



**REQUEST FOR QUALIFICATIONS (RFQ) NOTICE  
FOR THE  
STATE OF CALIFORNIA  
Department of Transportation**

**NUMBER 06A0808**

**Note: All questions concerning this project and/or RFQ MUST be addressed to Tammy R. Thomas at (916) 227-0221. Consultants who contact the District or Division directly, seeking information about the project and/or RFQ could jeopardize the integrity of the selection process.**

**Latest changes to this revision are noted with a side bar.**

**I. General Information**

- A. The State of California, Department of Transportation (Department) is soliciting Statements of Qualifications (SOQs) from qualified firms that may lead to the award of a contract for "On-Call" services related to Cultural Resource Studies. A more detailed description can be found in Article II of this RFQ.
- B. The Department anticipates the contract amount to be in the range of \$3,000,000.00 - \$4,999,999.00.
- C. The duration of an awarded contract is expected to be three (3) years.
- D. A contract awarded as a result of this Request for Qualifications (RFQ) will be awarded without discrimination based on race, color, religion, age, sex, sexual orientation, or national origin.
- E. The Consultant shall assure the Department that it will comply with the Americans with Disabilities Act (ADA) of 1990, which prohibits discrimination on the basis of disability, as well as all applicable regulations and guidelines issued pursuant to the ADA (42 U.S.C. 12101 et seq.).
- F. A Disadvantaged Business Enterprise (DBE) goal of seventeen percent (17%) has been established for the contract. Federal policy requires that all federal-funded contracts have business participation goals for DBE's.
- G. Consultants must meet the DBE goal or make a Good Faith Effort to do so. **IT IS MANDATORY THAT THE DBE GOAL PARTICIPATION FORMS ACCOMPANY THE CONSULTANT'S STATEMENT OF QUALIFICATIONS (SOQs).**
- H. The Bidder/Proposer DBE Information Instructions, ADM-0221F; the Bidder/Proposer DBE Information, ADM-0227F; and the Bidder/Proposer DBE Good Faith Effort Information, ADM-0312F; can be downloaded from: <http://caltrans-opac.ca.gov/aeinfo.htm> or may be obtained by

contacting Tammy R. Thomas at (916) 227-0221. **FAILURE TO COMPLETE AND INCLUDE THIS DOCUMENTATION WITH THE PRIME CONSULTANT TRANSMITTAL LETTER WILL RESULT IN AN AUTOMATIC REJECTION OF THE SOQ.**

- I. When completing the **ADM-0227F** the anticipated goal percentage (%) for each DBE firm listed must be inserted in the "Percentage of \$ Value Claimed" column and the total percentage inserted as indicated at the bottom of the column.
- J. Questions concerning DBE certification requirements, including the definition of a Good Faith Effort, must be addressed to the Department of Transportation, Civil Rights, Business Enterprise, 1823 14<sup>th</sup> Street, Sacramento, California 95814-7189; or call the toll free telephone number (866) 810-6346. Civil Rights also provides information on the Internet regarding the Department's certified firms at the following URL: [www.dot.ca.gov/hq/bep](http://www.dot.ca.gov/hq/bep).
- K. The Department does not guarantee either expressly or by implication, that any work or services will be required under a contract issued as a result of this RFQ.

## II. Scope of Work/Deliverables

### A. Description of Required Services

- 1. Consultant shall perform professional and technical services required for cultural resource studies. The required information and documentation shall be prepared for project environmental clearance under the National Environmental Policy Act (NEPA), the California Environmental Quality Act (CEQA), Section 106 of the National Historic Preservation Act (NHPA), and other applicable statutes, regulations and policies.
- 2. The work shall be performed by the Consultant on an on-call basis; specific projects shall be assigned to the Consultant through issuance of Task Orders by the Department's Contract Manager.

### B. Location and Purpose of Work

- 1. The cultural resource studies shall be for proposed projects within Monterey, San Benito, San Luis Obispo, Santa Barbara, and Santa Cruz counties. Occasionally, it may become necessary for a District 5 project to extend into another District/County line. In such instances, the project work shall not extend more than a 10 mile radius from the District 5 boundary. The proposed projects may vary in scope and size, and may encompass any type of improvement to the State transportation system such as roadway rehabilitation, widening and/or realignment to existing facilities or relocation, and construction of new facilities.
- 2. Consultant's cultural resource studies shall be in support of and part of the required documentation for project approval under State and Federal environmental laws and regulations. Formal clearance may be by Categorical Exemption/Exclusion, Negative Declaration/FONSI or EIS/EIR.
- 3. Caltrans shall be the lead State agency for environmental clearance for the projects under the CEQA. The Federal Highway Administration (FHWA) is the lead Federal agency under NEPA.

### C. Personnel

1. In responding to the Department's Task Order and in consultation with the Department, Consultant Project Manager shall identify the specific individuals proposed for the task and their job assignments. Consultant shall provide documentation that proposed staff meet the appropriate minimum qualifications as specified. A Task Leadperson (who may be other than the Project Manager) shall be assigned to conduct, or direct the conduct of, all work assigned under a single Task Order. The Task Leadperson shall be the primary contact for their assigned Task Order and be available for communication with the Department.
2. After Department approval of Consultant's staff proposal and finalization of a Task Order, Consultant may not add or substitute staff without the Department's prior approval. The Department's prior approval is required for addition or substitution of archaeological staff not identified in Consultant's Personnel Roster.
3. Consultant shall retain within the Consultant's firm or through subconsultants a staff of people qualified to perform each of the tasks listed in Sections E through Q of this Statement of Work.

#### D. Consultant Qualifications

1. Consultant will retain appropriately qualified staff to perform all work specified in a Task Order. The Department Contract Manager's prior approval is required for any substitutions or additions of key personnel identified on the project organization chart. Such staff must meet appropriate minimum qualification as defined in the Caltrans Environmental Handbook, Volume II (<http://www.dot.ca.gov/ser/envhand.htm>) and Secretary of Interior's Standards and Guidelines for Archaeology and Historic Preservation (Federal Register, Vol. 48, No. 190, September 23, 1983).
2. Other project staff not identified on Consultant's organization chart (e.g. field and laboratory technicians) also must satisfy appropriate minimum qualifications as outlined in Caltrans Environmental Handbook, Volume II (<http://www.dot.ca.gov/ser/envhand.htm>). The Department's prior approval is required for all archaeological staff not identified on Consultant's organization chart.

#### E. General Requirements

1. Consultant shall carry out instructions as received from the Department Contract Manager and shall cooperate with the Department, the FHWA and any other consultants working on each Task Order.
2. The studies, reports, documents and other materials furnished by the Consultant under this Statement of Work shall be of a quality acceptable to the Department Contract Manager. The criteria for acceptance shall be a product of neat appearance, that is well-organized, technically and grammatically correct, and complies with all applicable state and federal requirements and procedures. The minimum standard of appearance, organization and content shall be that of similar types produced by the Department. Guidelines for reporting formats can be found in Caltrans Environmental Handbook, Volume II (<http://www.dot.ca.gov/ser/envhand.htm>), and Secretary of Interior's "Standards and Guides for Archaeology and Historic Preservation" (Federal Register, Vol. 48, No. 190, September 23, 1983).

3. Consultant shall implement the following quality control procedures during the preparation of reports and documents relating to the Project. Consultant shall have a quality control plan in effect during the entire time work is being performed under the Project contract. The plan shall establish a process whereby all preliminary review and draft reports are checked for quality, completeness and readability before submittal, and all job-related correspondence and memoranda are routed and received by affected persons and then bound in appropriate job files. Evidence that the quality control plan is functioning may be requested by the State Contract Manager.
4. Consultant's staff involved in cultural resources investigations must meet appropriate minimum qualifications as defined in the Caltrans Environmental Handbook, Volume II (<http://www.dot.ca.gov/ser/envhand.htm>).
5. Consultant's Project Manager shall be responsible for understanding and ensuring that all work conducted under this Agreement and each Task Order be carried out in accordance with the stipulations therein. The Project Manager shall ensure that monthly Progress Reports are submitted to the Department's Contract Manager for each Task Order in progress.
6. Consultant shall maintain a project file for each task performed under the contract, which shall be transferred to the Department upon completion of the task.
7. Consultant shall apply for and obtain a fee-exempt encroachment permit from the Department prior to the performance of any and all fieldwork within the Department highway Right-of-Way.
8. Consultant shall comply with Public Resources Code 5097.98, 99 and with any provision of any agreement between the Department and Native American Advisor or Most-Likely Descendant. Unless otherwise specified in the Task Order, the Consultant will arrange and pay for a Native American Advisor, as appropriate.
9. Additional standards for specific work may be included in the applicable Task Order. Such standards supplement the standards specified herein. If such additional standards conflict with the standards specified herein, the Task Order standards shall govern over the standards herein.

F. Cultural Resource Study Requirements – General

1. Specialized services that the consultant must be prepared to perform include but are not limited to:
  - historic and archaeological records searches,
  - archaeological surveys,
  - ethnographic and ethnohistoric studies,
  - Native American consultation and coordination,
  - exposure, recovery and documentation of prehistoric and historic archaeological materials and features,
  - recognition, interpretation and recordation of natural soils; the recognition, interpretation and recordation of California Holocene and late Pleistocene

- natural and cultural stratigraphy and any associated cultural deposits (geomorphology/geoarchaeology) as well as late Holocene historic strata.
  - laboratory processing, cataloging, analysis and preparation of recovered archaeological materials for permanent curation,
  - technical studies including, but not limited to; radiocarbon dating, obsidian hydration and source analysis, vertebrate and invertebrate faunal analysis, paleobotanical analysis, typological, technological and functional analysis of historic and prehistoric artifacts (lithic, shell, bone metal, ceramic, glass and others),
  - preparation of maps, plans, and profiles, illustrations, photographs and other records of archaeological and historical finds,
  - archaeological site stabilization and/or weatherization (including the acquisition and placement of clean fill of specified particle size, the installation of rip-rap, etc.),
  - archaeological monitoring of highway construction activities,
  - identification and evaluation of historic properties for eligibility to the National Register of Historic Places including archaeological resources evaluations, historic resource evaluations, bridge evaluations and historic architectural evaluations,
  - research and development of thematic contexts for identification and evaluation of specific cultural resource types,
  - recommend, develop and implement measures to mitigate possible adverse project effects to significant historic properties,
  - record historic buildings or structures in accordance with standards of the Historic American Buildings Survey (HABS) or the Historic American Engineering Record (HAER),
  - and preparation of descriptive and interpretive reports, including those for public interpretation and outreach.
2. Cultural resource compliance documents the consultant may be required to prepare include:
- Historic Property Survey Reports (HPSR),
  - Finding of Effects (FOE),
  - Historic Resources Compliance Reports (HRCR),
  - Determinations of Eligibility (DOE),
  - Data Recovery Plans and Historic Property Treatment Plans,
  - Archaeological Evaluation Reports (AER),
  - Archaeological Survey Reports (ASR),
  - Historic Resource Evaluation Reports (HRER),
  - Phase II and Phase III Reports
3. The studies and documents listed above are included under the following Caltrans Project Delivery Standard Work Breakdown Structure (WBS) numerical codes.

165.20          Perform Cultural Resource Studies

- 165.20.05 Perform Archaeological Survey
- 165.20.05.05 Prepare Area of Potential Effect (APE)/ Study Area Map
- 165.20.05.10 Conduct Native American Consultation
- 165.20.05.15 Perform Records and Literature Search
- 165.20.05.20 Conduct Field Survey
- 165.20.05.25 Prepare Archaeological Survey Report (ASR)
- 165.20.10 Perform Extended Phase I Archaeological Studies
- 165.20.10.05 Conduct Native American Consultation
- 165.20.10.10 Prepare Proposal
- 165.20.10.15 Conduct Field Investigation
- 165.20.10.20 Analyze Materials
- 165.20.10.25 Prepare Report
- 165.20.15 Perform Phase II Archaeological studies
- 165.20.15.05 Conduct Native American Consultation
- 165.20.15.10 Prepare Proposal
- 165.20.15.15 Conduct Field Investigation
- 165.20.15.20 Analyze Materials
- 165.20.15.25 Prepare Report
- 165.20.20 Perform Historical and Architectural Resource Studies
- 165.20.20.05 Prepare Preliminary Area of Potential Effects Maps for Architecture
- 165.20.20.15 Prepare Historic Resources Evaluation Report (HRER)
- 165.20.20.20 Prepare Bridge Evaluation
- 165.20.25 Prepare and Process Cultural Resource Compliance Documents.
- 165.20.25.05 Prepare Final Area of Potential Effects Maps
- 165.20.25.10 Perform PRC 5024.5 Consultation
- 165.20.25.15 Prepare Historic Property Survey Report (HPSR) /Determination of Eligibility
- 165.20.25.20 Prepare Finding of Effect
- 165.20.25.25 Prepare Archaeological Data Recovery Plan/ Treatment Plan
- 165.20.25.30 Prepare Memorandum of Agreement
- 180.10.05.40 Prepare Section 106 consultation documents, including MOA/Historic Properties Treatment Plan
- 235.05.05 Perform historical structures mitigation.
- 235.05.10 Perform archaeological and cultural mitigation
- 255.15 Perform Environmental Reevaluation

The standard Caltrans WBS is on the Internet at  
<http://www.dot.ca.gov/hq/projmgm/pmscope.htm>.

4. Unless otherwise noted in the Department's Task Order, the following requirements shall apply to all cultural resources studies performed under this contract. Specific requirements for surveys and excavations are outlined in Section E through Q of this Statement of Work.

5. Consultant shall obtain copies of appropriate USGS topographic maps (7.5' where available).
6. Consultant shall be responsible for contacting appropriate historical societies or other groups for information about resources within the study area.
7. The Department shall be responsible for contacting appropriate Native American groups to identify concerns about resources within the project area. The Department shall coordinate with the appropriate Native American group if the project is on reservation land.
8. Consultant shall notify the Department's Contract Manager or the designated representative at least one (1) week before fieldwork is scheduled to begin.
9. Unless otherwise specified in Task Order, Consultant shall initiate fieldwork within two (2) weeks of receipt of the Department's signed Task Order and Notice to Proceed.
10. The Department's prior authorization is required for dissemination, in any form, of confidential information (e.g. site locations) received or developed by Consultant during Consultant's investigation.

G. Archaeological Study Requirements - Phase I (Surveys)

Consultant shall undertake Phase I archaeological studies to identify archaeological (prehistoric and historic), and cultural (Native American or other ethnic) resources within the project Area of Potential (APE).

1. The Department shall define the APE for the undertaking. Unless otherwise specified in the Task Order, the Consultant shall conduct a record search at the appropriate Information Center of the California Archaeological Inventory (Information Center). Specific information regarding the size of the record search will be specified in the Task Order. Consultant will incorporate record search information into GIS shapefiles, including survey boundaries and site locations. Specific details regarding shapefile attributes should be coordinated with Caltrans project coordinator. Consultant will also scan any site records that Caltrans does not already have, and provide those in .pdf format to Caltrans.
2. Consultant shall undertake Phase I archaeological survey studies to identify archaeological (prehistoric and historic), and cultural (Native American or other ethnic) resources within the project APE. These resources shall include not only prehistoric, ethnographic, and historic archaeological sites, but possible historic built environment (buildings, structures, objects) resources. In the latter case, the Consultant is responsible for notifying the Department regarding the location of potential historic architectural resources.
3. Consultant will conduct pre-field research, examining appropriate archaeological, ethnographic and historical documents for the project area including records and reports at the appropriate Information Center of the California Archaeological Inventory.

4. The following requirements pertain to Consultant's field methods for Phase I investigations:
  - a. Physical, pedestrian surveys coverage will include 100% of the project area, unless otherwise specified in the Task Order or by the Department Contract Manager and transect spacing will be commensurate with the terrain and sensitivity for cultural resources.
  - b. All prehistoric and historical archaeological sites shall be recorded following site recordation procedures described in the "Instructions for Recording Historical Resources" (Office of Historic Preservation, January 1995), and Caltrans Environmental Handbook, Volume II (<http://www.dot.ca.gov/ser/envhand.htm>).
  - c. Isolates shall be recorded and mapped. Isolate record forms shall be filed at the regional office of the California Archaeological Inventory. Isolates shall not be collected during Phase I surveys without permission from the Department Contract Manager.
  - d. Project mapping shall include:
    - 1) Project Vicinity Map. This map is for general project orientation. District base maps will be provided by the Department in hard copy and/or digital format by request.
    - 2) Project Location Map (U.S.G.S. 7.5'). This map depicts area surveyed and location of all cultural resources.
    - 3) Project Study Area/Area of Potential Effects (APE). This map depicts the proposed project boundaries in addition to the area of archaeological coverage. All cultural resources are plotted on this map. The Department will provide base maps in hard copy and/or digital format.
    - 4) Archaeological site map shall depict site boundaries, relative density of cultural material, and the location of all morphologically distinct artifacts or features. Site boundaries must be depicted relative to the existing edge of pavement, Right-of-Way fence and post mile. Site locations will also be recorded with GPS as described below in 5b.
5. Unless otherwise specified in the Department's Task Order, the following records and reports shall be required for each Phase I investigation performed. Submittal requirements and review periods specified below shall apply unless otherwise specified in the Department's Task Order.
  - a. Historic Resource Information. Within ten (10) days of completion of each field rotation, Consultant will notify the Department in writing of the presence of any architectural features identified. Preliminary recommendation should also be made as to whether additional historic studies should be conducted, such as the preparation of an Historic Resource Evaluation Report (HRER). Photographs and a copy of the field map showing the location(s) of any features must be submitted at that time.

- b. Archaeological Site Records. The Department may schedule a field review with the Consultant of all recorded sites prior to submittal of the draft site records. The purpose of the field review is to double-check all site descriptions, including locations and mapping information relative to the proposed project limits. Following the field review (within a time frame specified in the Task Order), the Consultant shall submit two (2) sets of the draft site records. For previously recorded sites, this submittal shall include all available previous versions of the site record. The Department shall complete review of the draft site records within two (2) weeks (or within the time frame specified in the Task Order). The Department Headquarters historical archaeologist(s) may participate in the field and document review pertaining to historical archaeological sites. Consultant shall make any necessary revisions and forward two (2) copies of each record to the appropriate Information Center to obtain site trinomials.
- c. Consultant shall use the Caltrans Cultural Resource Database (CCRD), to be provided by Caltrans upon request, for documenting all cultural resources. The CCRD includes an Access database for creating DPR 523 forms, and an ArcView GIS Project for locational information. Consultant shall contact the Department Contract Manager for instructions and questions regarding the CCRD and expected products.
- d. The Department will provide the Consultant with a current template of the CCRD front-end in Access, as well as a back-end file, and instructions on how to operate the CCRD. All DPR 523 forms will be entered in this format. The final product delivered to the Department will include a standard writeable CD labeled with project information and CD contents, containing: 1). the Consultant's backend file, 2). JPG images of any photographs used in the DPR forms, labeled by trinomial or Primary number, and 3). PDF versions of all records entered in the CCRD, labeled by trinomial or Primary number.
- e. Consultant will use Trimble Pathfinder Pro XR or XRS or comparable GPS unit to record the locations of all newly-discovered sites, and any evaluated historic buildings. Postprocessed differential correction shall be performed on all data files using data from an acceptable base station or alternate source. Positions shall have a horizontal accuracy of less than one meter. Features will be collected as point, line or area features based on type. Consultant should request the most current Data Dictionary from Caltrans prior to fieldwork. The final product delivered to the Department will include a standard writeable CD labeled with project information and CD contents, containing: 1). Trimble format raw data files (.ssf) and 2). corrected data files (.cor). Corrected data shall be submitted in two formats: 1). latitude/longitude, WGS 1984 datum, decimal-degree units, and 2). US State Plane 1983, for the appropriate CA zone, and have units of meters. All data shall be reviewed for completeness and accuracy prior to submission on CD.
- f. Archaeological survey results will be documented in an Archaeological Survey Report (ASR). If field survey results in the identification of sites, Consultant shall submit three (3) copies of the draft ASR within the time frame specified in the Task Order. The draft ASR shall include all illustrations, maps and site

records. The Department shall complete review of the draft within three (3) weeks after receipt.

- g. Final ASR. Consultant will submit the final ASR within four (4) weeks after receipt of Department comments (or as specified in Task Order). In addition, Consultant will submit one (1) original copy of the ASR, including all original copy maps, illustrations, and photographs (with negatives). In addition to hard copies of the reports, Consultant shall submit an electronic version on standard writeable CD in both MS Word and PDF versions.

H. Archaeological Study Requirements - Extended Phase I, Phase II or Phase III Excavations

Unless otherwise specified in the Department's Task Order, the following requirements shall pertain to the Consultant's excavation activities:

1. At the direction of the the Department Contract Manager, Consultant shall undertake limited Extended Phase I, Phase II or Phase III archaeological excavations for the following purposes:
  - a. Extended Phase I investigations shall be performed primarily to determine whether there is an archaeological resource within the project APE (presence/absence testing).
  - b. Phase II test excavations shall be performed primarily to determine if an archaeological resource located within the project APE has the integrity and research potential for it to be determined eligible for listing on the National Register of Historical Places, or is significant under CEQA, CCR 15064.5.
  - c. Phase III data recovery excavations shall be undertaken when it is necessary to mitigate adverse effects to sites found eligible for listing on the National Register of Historic Places or sites found significant under CEQA, CCR 15064.5.
2. As part of the Extended Phase I, Phase II or Phase III archaeological studies, Consultant shall prepare all reports and documents necessary for Caltrans to initiate compliance with Section 106 of the National Historic Preservation Act, and CCR 15064.5 under CEQA. Consultant shall follow all standard requirements outlined in Caltrans Environmental Handbook, Vol. II (<http://www.dot.ca.gov/ser/envhand.htm>).
3. Consultant's pre-field research should include:
  - a. A visit to each site to be investigated.
  - b. A literature review of the appropriate regional studies conducted by other archaeologists to place investigation in proper context.

- c. The preparation of a proposal, in consultation with the Department, which outlines the scope of work, purposes of the investigation, field and recording techniques to be employed, analytical techniques to be employed, Native American consultation/monitoring requirements, curation requirements, appropriate safety measures to be taken, and access requirements. In the case of Phase II and III studies, a research design of appropriate scale and depth requires that addresses regional research issues.
4. Consultant shall provide its own equipment for the purpose of completing Extended Phase I, Phase II and/or Phase III field and laboratory investigations. The Department may provide additional services and/or facilities, to be decided before implementation of any subsurface investigation, as defined in the Department's Task Order.
5. After the completion of the field work, Consultant shall meet with the Department to determine the nature, depth, and necessity of any proposed ancillary studies (e.g. faunal analyses, C-14 dating, obsidian hydration, obsidian source studies, pollen analysis, etc.) not specifically stated in the Task Order.
6. Consultant shall coordinate with the appropriate curation facility for the purpose of obtaining a curation agreement, as appropriate. Curation arrangements and costs will be included in the Consultant's Proposals.
7. Unless otherwise specified in the Department's Task Order, the following records and reports shall be required for each Extended Phase I, Phase II or Phase III investigation performed. These submittals shall include a standard writeable CD containing a Microsoft Word file and a PDF version as stipulated in the Task Order containing all pertinent files. Submittal requirements and review periods specified below shall apply unless otherwise specified in the Department's Task Order.
  - a. Extended Phase I Proposal. Consultant shall submit three (3) copies of an Extended Phase I proposal two (2) weeks after receipt of the Department's Task Order. The Department shall review and return proposal with comments to the Consultant no later than two (2) weeks after its receipt. Consultant shall then submit three (3) copies of the final proposal to the Department within one (1) week after receipt of the comments, incorporating all required changes. In addition, Consultant shall submit one (1) reproducible original, including all maps and illustrations.
  - b. Extended Phase I Report. Consultant shall submit three (3) copies of the draft Extended Phase I report within the time frame specified in the Task Order. The Department shall review and return report no later than two (2) weeks after receipt. Consultant shall submit ten (10) copies of final report one (1) month after receipt of comments, incorporating all required changes. In addition, Consultant shall submit one (1) reproducible original, including all maps and illustrations.
  - c. Phase II Proposal. Consultant shall submit three (3) copies of a Phase II proposal four (4) weeks after receipt of the Department's Task Order. The Department shall review and return proposal with comments to the Consultant no later than two (2) weeks after its receipt. Consultant shall then submit three (3) copies of the final proposal to the Department within two (2) weeks after

- receipt of the comments, incorporating all required changes. In addition, Consultant shall submit one (1) reproducible original, including all maps and illustrations.
- d. Phase II Report. Consultant shall submit three (3) copies of the draft Phase II report within the time frame specified in the Task Order. The Department shall review and return report no later than four (4) weeks after receipt. Consultant shall submit ten (10) copies of final report, unless otherwise specified, three (3) months after its receipt, incorporating all required changes. In addition, Consultant shall submit one (1) reproducible original, including all maps and illustrations.
  - e. Phase III Proposal. Consultant shall submit three (3) copies of a Phase III proposal four (4) weeks after receipt of the Department's Task Order. The Department shall review and return proposal with comments to the Consultant no later than two (2) weeks after its receipt. Consultant shall then submit ten (10) copies of the final proposal to the Department within two (2) weeks after receipt of the comments, incorporating all required changes. In addition, Consultant shall submit one (1) reproducible original, including all maps and illustrations.
  - f. Phase III Report. Consultant shall submit three (3) copies of the Draft Phase III report within the time frame specified in the Task Order. The Department shall review and return report no later than four (4) weeks after receipt. Consultant shall resubmit ten (10) copies of the final report, unless otherwise specified, three (3) months after its receipt, incorporating all required changes. In addition, Consultant shall submit one (1) reproducible original, including all maps and illustrations.
  - g. Miscellaneous Documentation Extended Phase I, Phase II and Phase III. The Department shall determine the final disposition of any collection recovered as a result of Extended Phase I, Phase II or Phase III investigations. Copies of all field notes, level records, photographs, profiles, catalog sheets, analysis sheets, and all other pertinent records and correspondence kept during the course of the investigation shall be kept in a file by the Consultant and shall be submitted to the Department upon the completion of the project.
8. Unless otherwise specified in the Department's Task Order, the following requirements shall pertain to Consultant's archaeological excavations:
- a. Excavation unit size, methodology and recording procedures shall be specified in the Task Order.
  - b. Screen size(s) shall be specified in the Task Order.
  - c. Units shall be excavated down to sterile subsoils, or when a significant reduction in cultural material occurs. In-field consultation between the Consultant shall be used to determine unit termination.
  - d. All cultural items (faunal remains, ground stone, flaked stone, etc., and recent historic items) shall be saved and cataloged in accordance with accepted

professional standards. The accession number for each collection shall be consistent with cataloging procedures of the curatorial facility.

- e. After the completion of any unit, it shall be photographed and at least one wall shall be profiled. Soil sample collection for analysis shall be specified in the Task Order. The unit shall be back filled, and only left open at the request of the Department, or otherwise for comparative purposes with other units in the vicinity.
- f. Consultant shall place safety coverings over each excavation unit. The covering should be of sufficient strength to prevent heavy equipment, cattle, horses or humans from falling in excavation units.
- g. Prior to excavation Consultant shall submit to the Department for review its proposed field forms, including level records, photo logs, catalog sheets, analysis sheets, etc. The Department may require Consultant to modify field forms.
- h. A Native American Advisor, from an appropriate local group, shall be present during any subsurface investigation, whether it involves trenching, auger or shovel tests, or unit excavation. The Department shall advise Consultant on Native American consultation matters.
- i. Consultant will enter into a curation agreement for each project where the recovery of archaeological remains shall be involved. The Consultant shall coordinate with the selected curatorial facility in order to catalog and prepare collections in accordance with requirements of that curatorial facility. Curation requirements and responsibilities will be detailed in the Department's Task Order. All materials subject to curation shall be appropriately accessioned and boxed by the Consultant and delivered (not shipped) to the selected curatorial facility. Delivery shall be coordinated with the Department.

I. Archaeological Monitoring of Construction Activities

Unless otherwise specified in Caltrans' Task Order, the following requirements shall pertain to Consultant's monitoring activities:

- 1. At the direction of the Department's Contract Manager, Consultant shall undertake monitoring of construction activities to identify the presence or absence of intact subsurface cultural materials within the construction area. If cultural deposits are revealed during monitoring activities and it is determined, in consultation with the Department, that data recovery efforts are required, Consultant may be responsible for conducting those efforts.
- 2. Consultant's pre-field research should include:
  - a. A visit to each construction area to be monitored.
  - b. A review of the archaeological reports that identified the need for monitoring. A literature review of archaeological reports that characterize the content of the type of archaeological deposit that may be encountered during monitoring.

3. Consultant shall provide its own equipment for the purpose of completing all monitoring activities. The Department may provide additional services and/or facilities, to be decided before implementation of monitoring, as defined in the Department's Task Order.
4. If monitoring results are negative for archaeological deposits Consultant shall submit three (3) copies of the draft Construction Monitoring Report (CMR) within three (3) weeks of completion of monitoring activities. The draft CMR shall include all required maps, stratigraphic profiles and photographs. The Department shall complete review of the draft CMR within two (2) weeks of receipt. Within four (4) weeks after receipt of the Department's comments, Consultant shall submit ten (10) copies of the final CMR, incorporating changes and additions as requested by the Department. In addition, Consultant will submit one (1) reproducible original CMR including all original maps, illustrations and photographs (including negatives).
5. If intact cultural deposits are revealed during monitoring activities, Consultant shall inform the Department Resident Engineer of the necessity of halting work in the area of the deposits. Immediately thereafter, Consultant shall contact the Department's Contract Manager to determine necessity for conducting data recovery efforts.
6. If the Department determines that data recovery efforts are necessary, the Department may choose to issue a Task Order for the additional work, to prepare a separate contract for the data recovery work, or to perform the work in-house. If the Department issues a Task Order for the data recovery work, the Consultant shall prepare a proposal within five (5) working days of receipt of the Department's Task Order. Unless otherwise specified in the Task Order, Consultant's proposal shall outline the scope of work, schedule of investigation, purposes of the investigation, field and recordation techniques to be employed, analytical techniques to be employed, Native American consultation/monitoring requirements, curation requirements, appropriate safety measures to be taken, and a research design of appropriate scale and depth to place the proposed investigation in context for the purposes of meeting the objectives of the investigation, as outlined in the Department's Task Order.

J. Historical Resources Evaluation Report (HRER)

The HRER is a technical document used to document the identification and evaluation of buildings, structures, objects, bridges, districts, landscapes, irrigation systems, farms, industrial complexes, sites, roadways, trails, and other built-environment resources within the APE, as well as evaluations of historical archaeological resources. The HRER for historical archaeological resources should be combined with a proposal for Extended Phase I or Phase II excavation when such work is needed to complete an evaluation. The HRER will be prepared by a qualified historian or historical archaeologist, as appropriate, in accordance with Caltrans Environmental Handbook, Vol. II (<http://www.dot.ca.gov/ser/envhand.htm>). Three (3) copies of the draft HRER will be submitted within six (6) weeks after initiation of study (or within time frame specified in the Task Order). The Department shall complete review of the draft HRER within three (3) weeks of receipt. Within three (3) weeks after receipt of the Department's comments on the draft HRER, Consultant shall submit ten (10) copies of the final HRER incorporating changes and additions requested by the Department. In addition, Consultant will submit one (1) reproducible original, including all maps and illustrations.

K. Historic Property Survey Report (HPSR) and Historical Resources Compliance Report (HRCR)

1. The HPSR is prepared to identify all cultural resources located within the project APE, summarizing results of the ASR, HRER, and Bridge Evaluation. The HPSR is the primary document used by the Department and FHWA to fulfill the federal requirements of 36 CFR 800, requesting SHPO concurrence on identification and evaluation, and in some instances effect.
2. Consultant will be required to prepare an Historical Property Survey Report (HPSR) on a project by project basis. Format for preparation of the HPSR is provided in Caltrans Environmental Handbook, Volume II (<http://www.dot.ca.gov/ser/envhand.htm>). Time frame will be specified in the appropriate Task Order.
3. The HRCR documents all cultural resources located within the Project APE, discussing results of the ASR, HRER, and Bridge Evaluation. The HRCR is prepared for CEQA-only projects (where there is no federal involvement) and local agency projects when the Department is the lead agency under CEQA. The HRCR summarizes 1) identification efforts; 2) a description of the significant historic resources identified; 3) a discussion of why they were assessed as significant; 4) a determination of the effect of the project on each resource; and 5) measures to mitigate project effects on each resource.
4. Consultant will be required to prepare an Historical Resources Compliance Report (HRCR) on a project by project basis. Format for preparation of the HRCR is provided in Caltrans Environmental Handbook, Volume II (<http://www.dot.ca.gov/ser/envhand.htm>). Time frame will be specified in the appropriate Task Order.

L. Determination of Eligibility (DOE)

1. A separate DOE may be required for archaeological sites listed in or eligible for listing in the National Register of Historic Places. Should the Department determine that the site(s) cannot be avoided by the project, the Consultant may be required to prepare a DOE. The DOE format is usually followed when previous studies have been conducted at the site, or there is sufficient information available to make a determination of eligibility (e.g. historic records, prior test results, etc.). The DOE shall conform to those presented in Caltrans Environmental Handbook, Vol. II (<http://www.dot.ca.gov/ser/envhand.htm>).
2. The Consultant shall submit to the Department, within the time frame specified in the Task Order, three (3) copies of the draft DOE. The Department will review and return to Consultant, as specified in Task Order. Consultant shall make any required changes and return ten (10) copies and one (1) original of the DOE, including all maps, photographs, and illustrations.

M. Finding of Effect (FOE)

1. The Consultant may be required to prepare a Finding of Effect (FOE), which if the finding is adverse will require a Memorandum of Agreement (MOA), and Data Recovery Plan, if appropriate. Contents of the FOE shall conform to those presented in Caltrans Environmental Handbook, Vol. II (<http://www.dot.ca.gov/ser/envhand.htm>).

2. The Consultant shall submit to the Department three (3) copies of the draft FOE according to the time line specified in the Task Order. The Department shall review the FOE and return. Consultant shall make any required changes and return ten (10) copies of the final FOE, as specified in the Task Order. In addition, Consultant shall submit one (1) reproducible original, including all maps, photographs, and illustrations.

N. Public Information and Outreach for Prehistory and History

This outreach and information program can be initiated throughout the life of the project and may be prepared for, but not limited to, public meetings, schools, and museums. Public outreach may include, but is not limited to, displays, internet websites, artifact reproduction, videos, lectures, and publications for public audiences. All information provided to the public shall be approved by the Project Coordinator prior to release. [Most detailed archaeological and ethnographic information is exempt from both State and Federal Freedom of Information Acts. Use of CHRIS prohibits the distribution of such information to inappropriate entities.]

O. Meetings and Coordination

1. Following completion of field work required under a Task Order, Consultant shall meet monthly and submit a monthly progress report with the Department's Contract Manager, until Department acceptance and approval of all deliverables.
2. Consultant shall be available, on five (5) days' notice, to meet with the Department to: participate in the Department Project Development Team (PDT) meetings; to attend public meetings where an expert on archaeology is required; to participate in any public hearings necessary for the project; and to provide technical expertise on an as-needed basis.
3. Consultant may establish direct contact with the State Office of Historic Preservation, the Native American Heritage Commission, Regional Clearinghouse of the California Archaeological Inventory, and other agencies, institutions, researchers or groups for the purpose of obtaining information, expertise and assistance. The Consultant will maintain a record of all such contacts and will transmit copies of these records to the Department. The Department will provide prior approval for, and may participate in, any and all meetings with staff of the State Historic Preservation to discuss site significant or eligibility for the National Register of Historic Places.
4. Unless otherwise specified in the Task Order, the Consultant will be responsible for obtaining Native American monitors/participants in coordination with the Department.
5. At the Department's option, Consultant shall conduct a field review for the Department environmental staff of any resources identified during Consultant's field studies.

P. Deliverables

1. Consultant will provide services for each Task Order in close liaison with the Department. The Department shall exercise review and approval functions through the Department's Contract Manager at key points in the archaeological study process. Milestone reviews shall be performed for the specific products and deliverables listed in each Task Order issued by the Department Contract Manager. The Department

Contract Manager will conduct these reviews, in addition to the monthly project status reports and meetings.

2. If Consultant fails to submit the required deliverable items set forth in each Task Order issued by the Department Contract Manager, the Department shall have the right to withhold payment, and/or terminate this Agreement in accordance with the termination provisions of the contract. If the Agreement is terminated, Consultant shall at the Department's request, return all materials recovered or developed by Consultant under the agreement such as photos, field notes, artifact collections and catalogs, computer data files, maps and reports.
3. The Consultant shall prepare and update a critical path method (CPM) network for each Task Order issued by the Department Contract Manager showing a deliverables schedule as well as other relevant data needed for Consultant's work control and the Department's review of work status.
4. The Consultant shall obtain written approval of acceptance for each of the following products (deliverables), or any other deliverables identified in the Department's Task Orders:
  - Archaeological Site Record Forms
  - Archaeological Survey Reports (ASR)
  - Historical Resources Evaluation Report (HRER)
  - Proposals for Extended Phase I Reports
  - Extended Phase I Reports (XPI)
  - Proposal for Phase II Test Excavations
  - Phase II Test Excavation Reports
  - Proposals for Phase III Excavations
  - Phase III Excavation Reports
  - Extended Phase I, Phase II, and Phase III Preliminary Reports, if appropriate
  - Historic Property Survey Report (HPSR)
  - Historical Resources Compliance Report (HRCR)
  - Public Information and Outreach products
5. All records generated (e.g. record search, historic maps, reports, photographs, federal, state, court records, documents, books, articles) shall be submitted to the Department upon completion of the project.
6. Where Consultant is required to prepare and submit studies, reports, plans, etc., to the Department as required by any Task Order issued by the Department Contract

Manager, these shall be submitted in draft as scheduled, and the opportunity provided for the Department to direct revisions, prior to final submittal. The schedule for Department review of Consultant submittals will be specified in the Task Order issued by the Department's Contract Manager.

7. A milestone submittal schedule will be prepared by the Department Contract Manager for each Task Order. Milestones may be changed by written agreement between the Department's Contract Manager and the Consultant's Project Manager. Prior to concluding such an agreement, the Department's Contract Manager will obtain the necessary Department approvals.

Q. Standards

1. All studies shall be performed in accordance with Department regulations, policies, procedures and standards, including compliance with Federal Highway Administration (FHWA) requirements.
2. All work performed under this contract shall follow procedures outlined in the Caltrans Environmental Handbook, Vol. II (<http://www.dot.ca.gov/ser/envhand.htm>) and Secretary of Interior's Standards and Guidelines for Archaeology and Historic Preservation (Federal Register, Vol. 48, No. 190, September 1983).

R. Information and Materials to be Provided by the Department

1. Reproducible project map(s) and/or aerial photographs.
2. Project Map depicting Area of Potential Effects (APE) or Study Area.
3. Relevant data and information from other studies prepared by the Department.
4. Caltrans Cultural Resources Database (CCRD) Access template and ArcView shapefiles for documenting cultural resources within CCRD and creating DPR 523 site records.

S. Work to be Performed by the Department

1. Assistance in obtaining a fee-exempt Encroachment Permit for any and all work within the Department highway Right-of-Way.
2. Coordination with various public agencies and jurisdictions, to include obtaining any necessary permits (except federal permits required for archaeological investigations on federal land).
3. Department will provide Permits to Enter for private property access. Consultant is responsible for notifying the property owner 48 hours in advance of entering the property, unless otherwise specified in the Permit. Consultant shall notify the Department Contract Manager within 48 hours if permission has been denied.
4. The Department shall determine the project Area of Potential Effects (APE) in consultation with FHWA.

5. The Department shall coordinate with the Native American Heritage Commission (NAHC) to determine the Native American Advisor and Most Likely Descendent, as appropriate. If appropriate, the Department shall be responsible for contracting with the Native American Representative

### III. Consultant Selection and Contract Negotiations

- A. The Consultants will be selected by means of a dual selection process (evaluation of a Statement of Qualifications [SOQs] followed by an interview of those short listed).
- B. The criteria and weighting for the initial and final evaluation, scoring, and ranking are detailed in Attachment 1, included in this RFQ.
- C. Those Consultants evaluated by a Selection Committee and judged to be the best qualified to undertake the services, based upon the combined scores and ranking of the SOQs, will be interviewed and again scored and ranked by the Selection Committee.
- D. A sealed **Cost Proposal** will be required of each short listed Consultant invited to be interviewed for an **On-Call contract**. All the necessary forms and instructions will be provided to the short listed Consultants with the interview notification correspondence. Only the Cost Proposal of the proposed awardee will be opened. **All unopened Cost Proposals will be returned at the conclusion of the award process.**
- E. The contract will be negotiated pursuant to Section 4528 of the California Government Code. A contract with fixed rates of compensation for specific persons and classifications will be negotiated with the top ranked Consultant in accordance with Government Code Section 4528. If agreement cannot be reached with the top ranked Consultant, negotiations will be terminated and negotiations started with the next ranked Consultant for the contract. For project specific contracts, the Department reserves the right to negotiate a firm fixed price contract or a combination of specific rates of compensation for a specific phase of the project and firm fixed price for another phase. The Department also reserves the right to entertain firm fixed price Task Orders when appropriate. **Firm fixed price Task Orders** may be negotiated for work resulting from this solicitation.
- F. If the Consultant is a corporation, the Consultant must certify that the corporation is in good standing to do business in California. Pursuant to Revenue and Taxation Code 23101, "Doing business means actively engaging in any transaction for the purpose of financial or pecuniary gain or profit."
- G. If the Consultant is selected for the contract and found to have an invalid corporate status with the California Secretary of State's Office, the contract will be voided unless the Consultant can provide validity of corporate status within five (5) working days of notification of intent to cancel.
- H. The Consultant finally selected must comply with Government Code Section 8355 in matters relating to providing a drug-free work place.
- I. All work shall be done in accordance with Department standards, policies, procedures, regulations and laws.
- J. State General Prevailing Wage Rates: The contract to be awarded from this RFQ solicitation is subject to the payment of prevailing wages. The Prevailing Wage Rates, in effect on the

date the RFQ appears in the California State Contracts Register, will apply. Copies of the State's General Prevailing Wage Rates may be obtained by contacting the Department's Labor Compliance Officer, Camillo Prandini, Central Region Labor Compliance Officer, Districts 5, 6, 9, 10, 5156 North Blackstone, Fresno, CA 93710, telephone number (559) 243-8667 or may be obtained via the Internet at: **www.dir.ca.gov**.

Federal Prevailing Wage Rate: The contract to be awarded from this RFQ solicitation is subject to the payment of prevailing wages. The Prevailing Wage Rates, in effect on the date the RFQ appears in the California State Contracts Register, will apply. Federal Wage Rate Determinations are subject to any "Modifications" to those wage determinations issued by the Federal Department of Labor ten (10) working days prior to the SOQ due date. Federal Wage Rate Determinations are available on the Internet at: **www.access.gpo.gov/davisbacon/index.html**.

#### IV. Statement of Qualifications

##### A. Submission of Statement of Qualifications (SOQs)

1. **Nine (9)** copies of the SOQs containing all the indicated information shall be submitted. FAX copies will not be allowed. SOQs will be accepted until **3:00 p.m. on June 7, 2004**, and must be directed to:

**State of California  
Department of Transportation  
Administration  
Division of Procurement and Contracts - MS-67  
Attention: Tammy R. Thomas  
1727 30th Street  
Sacramento, CA 95816-7006  
Telephone: (916) 227-0221**

2. The SOQs shall be titled **RFQ Number 06A0808**. This RFQ number, together with the submittal deadline of, **3:00 p.m. on June 7, 2004**, must be shown clearly on the outside of the sealed package or box in which the SOQs are submitted and marked "**DO NOT OPEN UNTIL DUE DATE**". The RFQ number must also be shown on either the cover or the first page of each copy of the SOQs.
3. If your SOQ package is hand delivered, you must date and time stamp it immediately upon arrival. The date/time stamp machine is located in the lobby of the first floor to the right of the security guard station at the address noted above. Date/time stamp one of the labels provided and attach it to the SOQ package. Ask the security guard to call the Division of Procurement and Contracts' reception desk at (916) 227-6000 to have your SOQ package picked up by Contracts' staff.
4. Submittal of more than one SOQ package by a Consultant shall be grounds for rejection of all SOQ's by that Consultant which are in response to this RFQ.

##### B. Requirements for SOQs – SOQs must be in the following format and include all of the following information. (Consultants may use this section as a checklist to verify responsiveness of the SOQ submittal.)

- SOQs to be bound on 11" side - binding style to be determined by submitter.

- Paper size to be 8-1/2" x 11" (except the Organizational Chart).
- Font size used for all documents (except the Organization Chart) to be a minimum of 8 point.

SOQ information to be tabbed into five (5) Main Sections and contain the information listed below:

**SOQs which do not contain all five (5) Sections required below, do not contain the required number of copies, do not have proper identification, are submitted after the deadline, are submitted to the wrong location, or fails to comply with any other requirement stated in this RFQ shall be rejected.**

**Section 1. Transmittal Letter(s)**

- a) Prime Consultant transmittal letter is limited to three (3) pages.
- b) Each Subconsultant transmittal letter is limited to one (1) page. In this transmittal letter, each Subconsultant shall provide correspondence stating its commitment to the Prime Consultant's team. The correspondence must be signed by a principal of the Subconsultant firm, indicating the specific portion of the work to be performed by the Subconsultant firm.
- c) Shall be signed by the person authorized to obligate the firm or joint venture. The signature of the authorized representative certifies that the information contained in the SOQ is truthful, accurate, and complete at time of submittal.
- d) List the location of the offices where the work is to be performed. If the work is to be shared among firms and offices at different locations, indicate where each office is located and what work is to be performed in each office. For Field personnel, provide the location of the offices where they will be based and from which they will be managed.
- e) List an individual's name and e-mail address for the Prime Consultant to which correspondence can be sent. If e-mail is not available, so indicate in the transmittal letter. Also, provide FAX number or indicate if FAX number is not available.
- f) If the Prime Consultant and/or Subconsultants have identified any former State of California, Department of Transportation employee(s) on the Organization Chart, list the individual's full name, last date of employment with the Department, and their functional responsibility held while with the Department (within the last 24 months of employment). Further information concerning Conflict of Interest issues can be found in this RFQ under Section V. Miscellaneous, Numbers 12 and 13.
- g) DBE certification letter (s) issued by the certifying entity.
- h) DBE PARTICIPATION FORMS. This will consist of one or both of the following pursuant to the instructions in ADM-0221F:
  - ADM-0227F

- ADM-0312F

**Section 2. An Organization Chart** (one page): May be up to 11" x 17" but must be folded to 8-1/2" x 11". The chart should list the Prime Consultant and Subconsultants, showing the proposed relationships between **the key personnel and support staff who are expected to participate** on the project, and which aspects of the work each person will be responsible for performing.

**Section 3. General Services Administration Standard Form SF 255**, "Architect-Engineer and Related Services Questionnaire for Specific Project". The Form SF 255 shall conform to the following format:

- 3.1 The Prime Consultant and each Subconsultant shall provide a separate SF 255.
- 3.2 The Prime and each Subconsultant's SF 255 to be separated by colored divider sheets or tabs.
- 3.3 Section 4 (Personnel by Discipline)
  - 3.3.1 Column (A) insert the number of proposed Consultant personnel under each category to be utilized on this particular project.
  - 3.3.2 Column (B) insert the total number of in-house Consultant personnel by category of disciplines. If staff performs more than one discipline count them only once under his or her primary function.
- 3.4 Section 6 (List Subconsultants). If Subconsultants are DBEs provide their respective Certification Number and expiration date. A copy of the Caltrans or Caltrans' approved reciprocal certification for DBEs shall be included in your Transmittal Letter.
- 3.5 Section 7: (Brief Resume). List all key personnel in each SF 255. Section 7 of each SF 255 shall conform to the following requirements:
  - a) Section 7a: **Every person whose resume is provided in this section shall be shown on the Organization Chart. Resumes of people who are not shown on the organization chart will not be considered.**
    - Prime Consultant's Project Manager is limited to a three (3) page resume.
    - All others are limited to a one (1) page resume.
  - b) Section 7b: Project assignment shall describe the function which this person will be expected to fulfill in connection with this project.
  - c) Section 7f: Professional Registration must list the person's active professional registrations in California, their California registration number and expiration date. Personnel in responsible charge of engineering, surveying, architectural, landscape architectural, or geotechnical engineering work, shall be registered in the respective disciplines in the State of California.
- 3.6 Section 8: (Relevant Projects) shall conform to the following requirements:

- a) Projects listed in Section 8 must be projects which were worked on by personnel shown on the Organization Chart and whose resumes are included in Section 7. Not more than ten (10) projects may be listed.
- b) In Section 8c include the owner's telephone number and the name of a person who can provide a reference. Projects without a telephone number or reference will not be considered. **If the reference information is found to be in error, it may be reflected in your initial or final evaluation as a reduction in your evaluation scores.**
- c) The Prime is limited to ten (10) projects, one (1) project per page. Subconsultants are limited to one (1) page (maximum of ten (10) projects).

3.7 Section 9 is not required.

3.8 Section 10: (Additional Information or Description) shall highlight or expand on experience or projects that are especially applicable to the proposed contract, including an indication of the size of the related work for which the Consultant was responsible.

- The Prime is limited to four (4) pages.
- Subconsultants are limited to two (2) pages.

3.9 Form **SF 254** is not required.

**Section 4. Work Force Analysis Chart:** Each employer (prime and subconsultant) must provide a work force analysis chart (as shown below) providing the total number and percentage of employees working in California. The prime and each subconsultant charts are to be separated by colored divider sheets or tabs.

**Work Force Analysis**

	Caucasian		Black		Hispanic		Asian/ Pacific Islander		Native American/ Native Alaskan		Total Calif. Work Force	
	M	F	M	F	M	F	M	F	M	F	M	F
Executives/Managers												
Licensed Professional Engineers/Surveyors/ Architects												
Other Technical/ Professional												
Office/Clerical												

TOTAL												
PERCENT OF TOTAL												

**Section 5. Nondiscrimination:** Each prospective Consultant and Subconsultant must comply with the State's nondiscrimination program requirements found in Government Code Section 12990 and Title 2, California Code of Regulations, Division 4, Chapter 5, Sections 8103, 8104 and 8113 (unless exempted per Section 8115). For federally funded projects, nondiscrimination compliance requirements are found in Title VI of the Civil Rights Act of 1964, and the Code of Federal Regulations, 49 CFR Parts 21, 23, and 200.

1. A Prime or Subconsultant with fewer than fifty (50) employees in its entire workforce may receive an exemption, pertaining to nondiscrimination and workforce utilization analyses, by providing to the Department a current copy of its exemption status from the Department of Fair Employment and Housing (DEFH) Office of Compliance Programs.
2. If not exempt, the following requirements shall be provided by the Prime and each Subconsultant and are to be divided by colored divider sheets or tabs.
  - a) Each employer (prime and subconsultant) must provide, unless exempted, a statement of compliance, under penalty of perjury, that they have complied with State nondiscrimination requirements.
  - b) Each employer (prime and subconsultant) must provide a description of the firm's nondiscrimination program designed to eliminate discrimination based on race, color, religion, and sex, national origin.

## **V. Miscellaneous**

### **1. Modification or Withdrawal of Submittals**

Any SOQ received prior to the date and time specified above for the receipt of SOQs may be withdrawn or modified by written request to the Department by the Prime Consultant. To be considered, however, the modified SOQ must be received by the time and date specified above.

### **2. Property Rights**

SOQs received within the prescribed deadline become the property of the State of California, Department of Transportation and all rights to the contents therein become those of the Department.

### **3. Confidentiality**

Before award of the contract, all SOQ's will be designated confidential to the extent permitted by the California Public Records Act. After award of the contract (or if not awarded, after

rejection of all SOQ's), all responses will be regarded as public records and will be subject to review by the public. Contracts are considered awarded after they are fully executed by both parties and approved by the Department of General Services. Any language purporting to render any portion of the SOQ to be excluded from public review will be regarded as non-effective and will be disregarded.

4. **Addendums to Request for Qualifications/Proposal**

The Department reserves the right to amend the RFQ by addendum before the final SOQ submittal date.

5. **Non-Commitment of the Department**

This RFQ does not commit the Department to award a contract, to pay any costs incurred in the preparation of an SOQ for this request, or to procure or contract for services.

All products used or developed in the execution of any contract resulting from this RFQ will remain in the public domain at the completion of the contract.

6. **Nondiscrimination**

The prospective Consultant must certify compliance with nondiscrimination requirements of the Department pertaining to the development, implementation and maintenance of a nondiscrimination program. The prospective Consultant's signature affixed to and dated on the cover letters shall constitute a certification under penalty of perjury under the laws of the State of California that the proposer has, unless exempted, complied with the nondiscrimination program requirements of Government Code Section 12990, and Title 2, California Code of Regulations, Section 8103; and the nondiscrimination program requirements of Title VI of the Civil Rights Act of 1964, 49 CFR Part 21 and 23, CFR Part 200 for federally funded projects.

7. **Pre-award Audit**

A Pre-award Audit will be performed prior to award of a contract. The Pre-award Audit will be conducted in accordance with generally accepted government auditing standards as promulgated by the United States General Accounting Office.

The scope of the audit will consist of such tests as the auditors consider necessary to assure that the Consultant satisfactorily meets the requirements outlined in items a-c below prior to execution of the contract.

- a. At the time of the Pre-award Audit, the prospective Consultant must demonstrate through actual historical data that its accounting system is capable of accumulating and segregating reasonable, allowable and allocable costs. For new businesses, if actual historical data is unavailable or the accounting system is newly implemented, the system will be tested to determine whether the accounting system is adequate and, if necessary, recommend that an interim audit be performed. At a minimum, the Consultant must have an accounting system that meets the following objectives:

- The ability to record and report financial data in accordance with generally accepted accounting principles and the Code of Federal Regulations, Title 48, Federal Acquisition Regulations System (FAR), Chapter 1, Part 31.
  - The ability to accumulate and segregate reasonable, allowable and allocable costs through the use of a cost accounting system.
  - A system of record keeping to ensure the costs billed to the Department will be supported by adequate documentation and will be in compliance with the terms of the contract and applicable Federal and State regulations.
  - Procedures to retain accounting records and source documentation as required by the terms of the contract.
  - A system of internal control which provides reasonable assurance that assets are protected; financial data, records and statements are reliable, and errors and irregularities are promptly discovered, reported and corrected.
- b. The prospective Consultant must be financially capable of performing the work.
- c. The costs proposed must be reasonable.

Additional information regarding the accounting and audit guidelines for contracts with the Department is available on the Internet at: <http://caltrans-opac.ca.gov/aeinfo.htm>.

## **8. Subsequent Audit**

Any contract issued as a result of this solicitation is subject to the requirements stated in the standard cost principles of the contract. Therefore, individual items of cost and other direct costs negotiated are subject to allowability of costs under these cost principles. Any costs for which payment has been made to the Consultant that are determined by subsequent audit to be unallowable under 48 CFR, Federal Acquisition Regulations System, Chapter 1, Part 31 et seq., or 49 CFR, Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments shall be subject to repayment by the Consultant to the Department.

## **9. Request for Additional Copies**

For additional copies of this RFQ, contact the State of California, Department of Transportation, Division of Procurement and Contracts Bid Line. Phone the Bid Line at (916) 227-6075 and leave a recorded message or send your FAX request to (916) 227-1950. Remember to include the RFQ solicitation number.

## **10. Download or Request Copies of the SF 255**

The SF 255 can be downloaded from: <http://caltrans-opac.ca.gov/aeinfo.htm> or contact the Contract Analyst listed in this RFQ for copies of the SF 255.

## **11. Internet Forms**

Forms can be downloaded from: <http://caltrans-opac.ca.gov/aeinfo.htm>

**12. Conflict of Interest Concerning Consultant(s)**

The prospective Consultant shall disclose any financial, business or other relationship with the State of California, or the State of California, Department of Transportation, or the State of California, California Transportation Commission that may have an impact upon the outcome of this contract. The prospective Consultant shall also list current clients who may have a financial interest in the outcome of this contract.

**13. Conflict of Interest Concerning Former State of California, Department of Transportation Employees**

- a. Public Contract Code Section 10411(a) prohibits a former employee from entering into a contract in which he or she engaged in any of the negotiations, transactions, planning arrangements or any part of the decision making process relevant to the contract while employed in any capacity by any State agency. This prohibition applies during the **two (2) year period** beginning on the date the person left State employment.
- b. Public Contract Code Section 10411(b) prohibits a former employee from entering into a contract with any State agency, if he or she was employed by the same State agency in a policy-making position in the same subject area as the proposed contract within the **twelve (12) month period** prior to his or her separation.
- c. Representation includes any formal or informal appearance, or oral or written communication to the Department or to any of its officers or employees. This would include participation at presentations or interviews, attendance at scoping meetings, participation in negotiations and direct involvement in cost proposal and audit activities. See Government Code Section 87406 subparagraph(d) subpart(1).
- d. The categories of former Department employees to whom the prohibition applies are any one or more of the following:
  - 1) A "Designated employee" as defined in Government Code Section 82019, to include any officer or employee whose position with the department:
    - a) was exempt from the State Civil Service System;
    - b) is designated in a Conflict of Interest Code (See Public Contract Code Section 10411 subparagraphs (a) and (b)) because the position entails the making or participation in the making of decisions which may foreseeably have a material effect on any financial interest.
    - c) involved the employee in the functions of:
      - (1) negotiating or signing any competitively awarded contract;
      - (2) making decisions in conjunction with the competitive award process;
  - 2) making decisions on Emergency Force Account contracts awarded under Public Contract Code Section 10122.

Government Code and Public Contract Code Sections may be viewed by visiting web site:  
<http://www.leginfo.ca.gov/calaw.html>

Former Department employees, including former retired annuitants, proposed in the SOQ who meet the criteria above will not be allowed to participate in the selection, negotiation and award process of this contract. **The separation date or last date of employment by the State should be listed on the form SF 255.**

**14. References**

The Department reserves the right to check references not only for those stated in the SOQs but also references from the Department's Consultant Evaluation Reports.

**15. Web Site for Awarded Contracts**

Consultants may view a list of awarded A&E contracts at web page: <http://caltrans-opac.ca.gov/aeaward.htm>

- 16. TO HELP SPEED UP AN AUDIT IF YOU ARE SELECTED, PLEASE PROVIDE YOUR BEST ESTIMATE FOR PERCENTAGE OF UTILIZATION OF ALL SUBCONSULTANTS. This information could be placed in your transmittal letter, but if you do not provide, there is absolutely no penalty.**

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**ARCHITECTURAL & ENGINEERING (A&E) CONSULTANT EVALUATION FORM**  
**INITIAL EVALUATION (for Short Listing)**  
ADM-2027 (Rev. 5/5/04)

Consultant: \_\_\_\_\_

Contract No.: \_\_\_\_\_ Project: \_\_\_\_\_

Criteria	(a) Weight	(b) Score (0-10)	(a) x (b) Weighted Score
1. Professional excellence, demonstrated competence in the service to be provided, and specialized experience of the Prime and Subconsultants.	3.0		
2. Education and experience of the Project Manager and other key personnel to be assigned.	2.0		
3. Staffing capability, workload, and record of meeting schedules on similar projects, including an assessment of the firm's ability to handle additional work, in view of the firm's current workload.	2.0		
4. Nature, quality, and relevance of recently completed work.	2.0		
5. Feasibility of oversight, ability and willingness to respond to Department requirements, and accessibility to Department Reviewers.	1.0		
6. CIVIL RIGHTS ONLY - Present level of minority utilization in the firm, active and acceptable non-discrimination plan aimed at eliminating discrimination based on race, color, religion, sex, or national origin and demonstrated compliance with non-discrimination plan on previous projects.	Pass / Fail		
Total			

*I certify that I have performed an independent evaluation of the above named consultant. I further certify that I have not engaged in discussions within the last year with the above-named consultant regarding my future employment with said consultant.*

Signature of Evaluator: \_\_\_\_\_ Date \_\_\_\_\_

Printed Name of Evaluator: \_\_\_\_\_

Checked by: \_\_\_\_\_ Date \_\_\_\_\_

Remarks (continue on reverse if necessary):

## SUGGESTED SCORING SYSTEM

for

### CALTRANS CONSULTANT SELECTION COMMITTEES

#### **Fail (0 points)**

Zero (0) points are given when the category being evaluated is nonresponsive.

#### **Below Average (1 - 4 points)**

One (1) to four (4) points are awarded to responses that are considered to be minimally acceptable.

#### **Average (5 points)**

Five (5) points are awarded if qualifications fully satisfy the requirement.

#### **Above Average (6 - 9 points)**

Six (6) points to nine (9) points are awarded if qualifications more than satisfy the requirement and experience specifically applies to the project under consideration.

#### **Exceptional (10 points)**

Ten (10) points are awarded if a firm's qualifications far exceed those required. Scores of ten (10) points generally are infrequent.

***This scoring system is provided as a guideline for evaluating Statements of Qualifications that are submitted in response to a Request for Qualifications and for evaluating consultant proposals. All relevant experience will be considered equally.***

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

**ARCHITECTURAL & ENGINEERING (A&E) CONSULTANT EVALUATION FORM/FINAL EVALUATION**

(Qualifications-Based Selection)

ADM-2028 (Rev. 5/5/04)

Contract No.: \_\_\_\_\_ Consultant: \_\_\_\_\_

Criteria	(a) Weight	(b) Score (0-10)	(a) x (b) Weighted Score
<b>1. PROJECT TEAM</b> <ul style="list-style-type: none"> <li>Qualifications and relevant individual experience</li> <li>Unique qualification of key personnel</li> <li>Time commitment of key members</li> <li>Organization Chart</li> </ul>	2.0		
<b>2. FIRM'S CAPABILITIES</b> <ul style="list-style-type: none"> <li>Demonstrated capability on similar or related projects</li> <li>Management and scheduling abilities</li> <li>Other on-going projects and priorities</li> <li>Quality and cost control</li> <li>Staff availability</li> </ul>	3.0		
<b>3. PROJECT UNDERSTANDING AND APPROACH</b> <ul style="list-style-type: none"> <li>Demonstrated knowledge of the work required</li> <li>Explanation of the project</li> <li>Knowledge of general engineering processes</li> <li>Innovative approaches and internal measures for timely completion of project</li> </ul>	3.0		
<b>4. FEASIBILITY OF OVERSIGHT</b> <ul style="list-style-type: none"> <li>Ability and willingness to respond to Department requirements</li> <li>Accessibility to Department reviewers</li> </ul>	1.0		
<b>5. REFERENCES*</b> <ul style="list-style-type: none"> <li>Record of producing a quality product on similar projects on time and within budget</li> </ul>	1.0		
<i>*All panel members must enter a zero (0) for all interviewed Consultants if time did not allow for reference checks or if the reference checks were not completed on <u>all</u> the Consultants.</i>			Total

Comments (continue on reverse if necessary):

*I certify that I have performed an independent evaluation of the above named consultant. I further certify that I have not engaged in discussions within the last year with the above-named consultant regarding my future employment with said consultant.*

Signature of Evaluator: \_\_\_\_\_ Date: \_\_\_\_\_

Printed Name of Evaluator \_\_\_\_\_

Checked by: \_\_\_\_\_ Date: \_\_\_\_\_

## SUGGESTED SCORING SYSTEM

for

### CALTRANS CONSULTANT SELECTION COMMITTEES

#### **Fail (0 points)**

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<b><i>This scoring system is provided as a guideline for evaluating Consultant Interviews. All relevant experience will be considered equally.</i></b>
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